

GENERAL SERVICES ADMINISTRATION

TRANSMITTAL LETTER NO. 3-7

Washington 25, D. C.

August 31, 1955

REGULATIONS OF THE GENERAL SERVICES ADMINISTRATION  
TITLE 3, FEDERAL RECORDS

To: Heads of Federal Agencies

1. Material Transmitted

HRS

Attached are revised item 1 and related minor changes of other items of General Records Schedule 1; revised items 15 and 16 of General Records Schedule 2; revised item 4 of General Records Schedule 3; revised subparagraph a. of the third paragraph of General Records Schedule 4; revised appraisal of item 5 of General Records Schedule 6; and revised appraisal of item 5 of General Records Schedule 9.

2. Nature of Revisions

Revised item 1 of General Records Schedule 1 authorizes disposal of the personnel folders when their values for reemployment and retirement have been exhausted; minor changes of phrasing in other parts of the schedule are necessary as a consequence.

Revised items 15 and 16 of General Records Schedule 2 clarify the coverage of the items to specify that the records involved are not General Accounting Office records.

Revised item 4 and related revisions in the introductory paragraphs of General Records Schedule 3 make the item consistent with a records retention requirement in the Federal Property and Administrative Services Act of 1949, and extend coverage of the schedule to agency procurement records reflecting transactions under broad delegations of authority from the Administrator of General Services to procure for Government-wide purposes.

Subparagraph a. of the third paragraph of General Records Schedule 4 is revised to correct the number of the form entitled, Sale of Government Property, Invitation, Bid, and Acceptance, to read Standard Form 114 instead of Standard Form 144.

Revised appraisal of item 5 of General Records Schedule 6 clarifies coverage to specifically exclude certain items such as income tax records, social security reports, Federal Employee retirement accounts, and other similar records.

Revised appraisal of item 5 of General Records Schedule 9 makes it conform to the language and requirements of General Regulations No. 123 of the Comptroller General, governing transportation request procedures for the Government.

Authority for the disposal provisions in these revised schedules is contained in the following House Reports: 2471 (General Records Schedule 2), 82d Congress, 2d session, 573 (General Records Schedule 9), 1076 (General Records Schedule 6), 83d Congress, 1st session, and 1580 (General Records Schedules 1 and 3), 84th Congress, 1st session.

3. Supplies of Schedules

Limited numbers of copies of General Records Schedules may be obtained by agency records liaison offices, designated in accordance with subsection 102.06 of Chapter I, upon request to the Records Management Division, National Archives and Records Service.

4. Page Changes

Remove

Appendix B, GRS 1  
(7-10-53) and (10-4-54)

Appendix B, GRS 2  
Page 4 (10-4-54)

Appendix B, GRS 3  
(7-10-53) and (10-4-54)

Appendix B, GRS 4  
Page 1 (7-10-53)

Appendix B, GRS 6  
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Appendix B, GRS 9  
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Insert

Appendix B, GRS 1  
(8-31-55)

Appendix B, GRS 2  
Page 4 (8-31-55)

Appendix B, GRS 3  
(8-31-55)

Appendix B, GRS 4  
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Appendix B, GRS 6  
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Appendix B, GRS 9  
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5. Effective Date

The Regulations transmitted herewith shall become effective October 17, 1955.



EDMUND F. MANSURE  
Administrator

Attachments

## GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees, for the most part pursuant to regulations of the Civil Service Commission, the staff agency charged with the administration of the Civil Service Act, and related regulations, orders, and legislation. This schedule covers all personnel folders of civilian employees whose employment terminated on or after January 1, 1921. It covers also all other records relating to civilian personnel created since January 1, 1921, wherever located in an agency, exclusive of (a) copies of loyalty and other investigative files, (b) program records of the Civil Service Commission (including records of Boards of U. S. Civil Service Examiners and Committees of Expert Examiners, regardless of the custodian), and (c) records of the Bureau of Employees' Compensation and the Public Health Service maintained pursuant to statutory Government-wide responsibilities for the health and welfare of Government employees. Records of agency units functioning as staff personnel policy groups, rather than as operating personnel units, are not covered by this schedule.

The Official Personnel Folder, a case file documenting employment under rules and regulations of the Civil Service Commission, was established in 1947 by the Federal Personnel Manual (R1 35-39) and constitutes the key record relating to most civilian personnel. Executive Order 10561 (September 13, 1954) provided that comparable records be kept covering employees of the executive branch outside of the competitive service.

Prior to 1947 the contents of personnel folders varied somewhat according to agency practices. These practices, however, have been essentially similar since about 1921. Specific personnel forms, such as the Notification of Personnel Action (Standard Form 50), have been standardized since 1941.

An auxiliary to the Official Personnel Folder is the Service Record Card (Standard Form 7), a mandatory form which replaced multiple types of similar forms used in the agencies. The Official Personnel Folder and Service Record Card are described in Civil Service Handbook S-812, Basic Personnel Records and Files System for Federal Agencies, which prescribes a simplified system of record keeping for Federal personnel offices.

The Official Personnel Folder, which travels with the Federal employee as he moves from agency to agency, contains papers of long term value, listed as such in the Federal Personnel Manual, on the right hand side, and papers of short term value on the left side. Until November 1951, the contents of the left hand side of the folders were described in detail in the Federal Personnel Manual. Now, however, only the records required to be kept on the right hand side are described in detail.

Records normally maintained in addition to the official folder and its related service record card concern phases of personnel administration involving the selection of personnel and the supervision over the work history and on-the-job performance, as follows:

Position classification: These records include copies of position classification sheets and related records.

Recruitment and selection: These include interview files and related data.

Training: These include evidence of skills acquired and made available to the agency.

Other records pertaining to individual employees normally include service record cards and various other controls maintained for purposes of convenience at the operating levels; agency dispensary records; and, for the period of World War II, draft deferment records.

Provision is made in this schedule for the disposition of copies of forms either duplicated in the Official Personnel Folder or maintained in separate personnel files, as well as files maintained for temporary processing or expediting purposes. This schedule also covers correspondence files not relating to individuals maintained by operating personnel offices, involving their administration and operation. The disposition of pay and payrolling records, normally maintained by agency fiscal units, is provided for in Schedule 2.

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING*	AUTHORIZED DISPOSITION
1.	Personnel folders excluding (a) folders or group of folders selected	Alphabetically by name.	(a) See page R1 36 of the <u>Federal Personnel Manual</u>

\*Prescribed methods of filing are indicated by referral to the issuance prescribing them; those recommended under the provision of Sec. 505(a) of the Federal Records Act of 1950 (44 U.S.C. 395) do not refer to an established authority. Any new regulations or directives that may be issued from time to time will supersede these recommendations.

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ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
	by the National Archives; (b) folders covering periods of employment terminated prior to January 1, 1921; and (c) papers on the left or the so-called "temporary" side of the folder, which are authorized for disposal by General Records Schedule 1, item 11.		for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation in accordance with the <u>Federal Personnel Manual</u> , <u>¶ 36-37</u> ; for Department of Defense transfer folder to Federal Records Center, St. Louis, Missouri, 1 month after separation; for all other agencies, 1 year after separation. (1) Dispose 75 years after birth of employee or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated or retired for at least 5 years; or (2) Dispose 5 years after death of employee, whichever is sooner.
2.	Service Record Card (Standard Form 7 or its equivalent).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I A.	Transfer to Federal Records Center, St. Louis, Missouri, 5 years after year of employee's separation or transfer to another agency.
3.	Position descriptions pertaining to positions abolished after September 1, 1950, and descriptions superseded after that date.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I C 4.	Retain one copy. (See item 8 for disposal of other position descriptions.)
4.	Correspondence in the operating personnel office and its subordinate units relating to their administration and operation.	By subject or agency filing system; start a new file every 3 years.	Dispose 3 years after file is closed or 3 years after date of document if filing arrangement differs from that suggested herein.
5.	Correspondence, letters, and telegrams offering appointments to potential employees.	Alphabetically by name.	(a) If appointment is accepted: Destroy immediately. (b) If appointment is declined: (1) Return to Civil Service Commission with reply and application, if name was received from certificate of eligibles; (2) File inside application, if offered as a result of application for temporary or excepted appointment, and dispose of in accordance with provisions in item 16; (3) All others: Dispose immediately.

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ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
6.	Certificate files, consisting of: <ul style="list-style-type: none"> <li>a. Requests for certificates of eligibles.</li> <li>b. Certificates of eligibles.</li> </ul>	File requests and certificates by certificate number.	Dispose 2 years after date of certificate.
7.	Employee record cards used for informational purposes outside personnel offices (such as Form OF-4).	File requests and certificates by certificate number.	Dispose 2 years after date of certificate.
8.	Position descriptions (copies other than those provided for by item 3).	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part III B 2 and B 3.	Dispose on transfer to another agency or bureau or on separation of employee.
9.	Employee interview records.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I C 4.	Dispose when position is abolished or description is superseded.
10.	Duplicate case files of efficiency rating boards of review, copies of which have been forwarded to the Civil Service Commission.	Alphabetically by name.	Place in inactive file on transfer or separation of employee and start new inactive file every 6 months; dispose of inactive file 6 months after it is closed. If filing arrangement differs from that suggested herein, dispose of records 6 months after transfer or separation of employee.
11.	All copies of correspondence and forms maintained as temporary records on the left side of the Official Personnel Folder in accordance with the <u>Federal Personnel Manual</u> , Chapter R1, pages 35-39.	Alphabetically by name; start a new file every year.	Dispose 1 year after closing file; if filing arrangement differs from that suggested herein, dispose of records 1 year after completion of case.
12.	Position identification strips, used in service control file (such as Standard Form 7) to provide summary data on each position occupied.	On left side of folder, chronologically.	Dispose on transfer or separation of employee, or when 2 years old.
13.	Employee suggestion case files, including files relating to management improvement suggestions considered under Title X of P. L. 429, 81st Congress, or comparable legislation.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I A.	Dispose when position is canceled or new strip is prepared.
		Alphabetically by name; start a new file every 5 years or every 2 years, as appropriate.	After closing case transfer to inactive file arranged in same way as active file but closed at end of each year; dispose of (a) basic copies 5 years after closing of the file; (b) duplicate copies 2 years after close of file.

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ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
14.	Case files on rewards for superior accomplishment under Title VII of the Classification Act of 1949.	Alphabetically within fiscal year; start new file each fiscal year.	Start new inactive file every fiscal year; dispose of each year's file 6 months after close of that fiscal year.
15.	Notifications of personnel action, exclusive of those in Official Personnel Folders.		
	a. Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I B 4.	Dispose after 2 years.
	b. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
16.	Applications for employment and related papers, excluding (a) records relating to appointments requiring Senatorial confirmation, and (b) applications resulting in appointment filed in the Official Personnel Folder (covered in item 1 of this schedule).	In accordance with inspection requirements of the Civil Service Commission as stated in Chapter A7 of the <u>Federal Personnel Manual</u> .	Dispose upon receipt of Civil Service Commission report of inspection or when 2 years old, whichever is earlier, providing the requirements of Section A7-48.04 of the <u>Federal Personnel Manual</u> are observed.
17.	Statistical reports in the operating personnel office and subordinate units relating to personnel.	By report and chronologically thereunder.	Dispose 2 years after date of report.
18.	Correspondence and forms in operating personnel offices relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.		
	a. Correspondence and forms relating to pending personnel actions.	Not applicable.	Dispose when action is completed.
	b. Retention registers (including card files and related papers) from which reduction-in-force actions <u>have</u> been taken.	In accordance with Chapter R3 of the <u>Federal Personnel Manual</u> .	Dispose after 2 years.
	c. Retention registers (including card files and related papers) from which <u>no</u> reduction-in-force actions <u>have</u> been taken.	In accordance with Chapter R3 of the <u>Federal Personnel Manual</u> .	Dispose when superseded.
	d. All other correspondence and forms.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.
19.	Copies of documents duplicated in Official Personnel Folders and not provided for elsewhere in this schedule.	Alphabetically by name; start a new file every 6 months.	Dispose 6 months after file is closed or 6 months after date of document if filing arrangement differs from that suggested herein.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
20.	Files pertaining to the deferment of Federal employees from military training under the Selective Service and Training Act of 1940, as amended (excluding records held by the Selective Service System and the Review Committee on Deferment of Government Employees and their predecessor and successor agencies).		
	a. Reports to the Review Committee on Deferment of Government Employees or its predecessors on the Selective Service status of employees (WMC Form 27 or equivalent).	Conform to agency practice.	Dispose after 6 months.
	b. Requests for occupational deferment (DSS Form 42, 42a, or equivalent) and all supporting and accompanying papers.	Conform to agency practice.	Dispose after 6 months.
	c. Appeals to the Review Committee on Deferment of Government Employees or its predecessors for occupational deferments and all accompanying and supporting papers.	Conform to agency practice.	Dispose after 6 months.
	d. Correspondence between individual agencies and the Review Committee on Deferment of Government Employees and its predecessors.	Conform to agency practice.	Dispose after 6 months.
	e. Requests to the Review Committee on Deferment of Government Employees and its predecessors for the designation of certain positions as "Key Positions."	Conform to agency practice.	Dispose after 6 months.
	f. Reports made within an agency by individual employees on their Selective Service status.	Conform to agency practice.	Dispose after 6 months.
21.	Individual health record cards.	File within year alphabetically by name. Set up new file every year and bring cards forward from previous years to it when individual concerned is treated.	All cards pertaining to an individual to be disposed of 6 years after date of last entry on the cards pertaining to him.
22.	Logs or registers of visits to dispensaries, first aid rooms, and health units.		
	a. Where information is summarized on statistical reports.	Chronologically.	Dispose 3 months after last date on log or register.
	b. Where information is not summarized elsewhere.	Chronologically.	Dispose 2 years after last date on log or register.
23.	Health record case files, comprising forms, correspondence, and related papers documenting employee medical history, except pre-employment physical examinations, disability retirement examinations, and fitness for duty examinations, and fitness for duty examinations which may be made a part of or associated with the Official Personnel Folder or may be retained separately.	Alphabetically by name. Set up new file each year and bring forward from previous years files related to an individual when that individual is treated.	Dispose 6 years after date of last papers in the file.

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ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
24.	Copies of statistical summaries and reports relating to employee health retained by reporting unit, and related papers.	By report and chronologically thereunder.	Dispose 2 years after date of summary or report.
25.	Certificates of performance rating.	Conform to agency practice.	Dispose after 1 year.

Item 1. The Official Personnel Folder, promulgated in 1947 by the Federal Personnel Manual (RL 35-39), is considered to be the official record documenting employment history. The documents filed on the right side of the folder, which "travels" with the employee throughout his Federal career, comprise papers which give legal force and effect to appointments and all other personnel transactions, and which reflect minimum data on job performance. After carefully considering the various values inherent in these folders, an Ad Hoc Committee on the Disposition of Personnel Folders, consisting of representatives of the Civil Service Commission, the General Accounting Office, the Budget Bureau, and the General Services Administration, reported to the Administrator of General Services on December 31, 1952, that the folders did not have sufficient value to warrant preservation indefinitely beyond the time they were required for adjudication of retirement claims.

Executive Order 10561 of September 13, 1954, designated Official Personnel Folders as records of the Civil Service Commission, but comparable folders of employees occupying positions excepted from the competitive civil service are records of the employing agencies. These records have the same values as do Official Personnel Folders, and they are therefore included in the coverage of this item.

Any historical value that personnel records as a class may have relates primarily to the individual, not in his capacity as a Federal employee, but rather because of his position in the hierarchy of the agency or because of his fame or notoriety as an individual. It would not be reasonable for the Federal Government to keep the files relating to millions of employees on the gamble that a historian or biographer might some day find in one of the folders the missing clue to some aspect of the life or career of an individual who later became famous. On the other hand, the National Archives can identify the folders or groups of folders, particularly those relating to employees with periods of employment prior to standardization of the folder in 1947, that may contain papers of sufficient historical importance to warrant their retention. This selection will be made prior to disposal of the remainder of the files.

The importance of personnel folders in retirement proceedings and in determining the pension rights of former Government employees requires that the files of those covered or potentially subject to coverage by a retirement system be retained until these pension rights have been finally determined.

Retirement benefits may be obtained after varying periods of service and at various ages, but it is reasonable to assume that former employees will apply for these benefits before they are 75 years old. Consequently the retention period for the folders is set at 75 years after the employee's birth, or, if information as to date of birth is lacking, at 60 years after the date of the earliest document pertaining to his employment. Similarly, the folder may be disposed of 5 years after the death of the employee on the grounds that his retirement rights have by then been determined.

Item 2. These service record cards are official summaries of the salient facts of employment history that are maintained by personnel offices to obviate frequent references to personnel folders and to be used as the official record in lieu of lost folders. The cards serve as a central record, and have continuous significance as a concise reference source after transfer or separation of the employee.

Item 3. These descriptions must be retained indefinitely in order to protect fully the job restoration rights of persons who are furloughed to enter the military service under the 1948 Selective Service law. These rights involve restoration to the permanent position held as of September 1, 1950, when personnel actions became temporary under Executive Order 10180 and related legislation.

Items 4 and 5. These files reflect the operation of the personnel office in administering the agency personnel program, and that of the subordinate branches charged with individual phases of the program. Employment policy is normally reflected in agency files at higher administrative levels. Files covered by item 4 serve temporary administrative needs involved in the daily problems arising in personnel work, and the retention period indicated is adequate to serve such temporary needs. Correspondence relating to individuals who receive appointments is provided for elsewhere in this schedule, and item 5 relates to routine papers reflecting pre-appointment negotiations with potential appointees.

Item 6. These forms relate to requests made by the agency to the Civil Service Commission for lists of eligibles from established registers. The certificate itself is of little administrative value once

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decisions have been taken with respect to the names certified.

Item 7. Optional Form 4 was developed as an informational record for operating units served by the personnel office to obviate requests for employee service and related data. Once the employee leaves the operating unit, the card is of no further administrative value. The permanent summary card record is maintained on Standard Form 7 (see item 2) by the personnel office itself.

Item 8. Position descriptions, used in classification work and in employment control, are of value as continuing personnel documents while the descriptions they contain are still valid. Except for descriptions which may be of continuing value because of their aptness of content (which may be retained as non-record reference material), these records are of little value after they are superseded or obsolete. Descriptions of positions abolished and descriptions superseded after September 1, 1950, are retained for the special reasons noted under item 3.

Item 9. These are primarily employee relations files and involve entrance and exit interviews, and interviews involving complaints by or against the employee. Any action taken by reprimand or otherwise is documented on the right hand side of the personnel folder. Some agencies place these records on the left side of the folder, to be disposed of on transfer or separation.

Item 10. These are duplicates of papers submitted by members of Boards of Review to the Civil Service Commission on termination of their terms of office.

Item 11. These are temporary papers dealing either with the inception of personnel actions documented on the right hand side of the Official Personnel Folder or with administrative matters, and are of administrative value only for a short time.

Item 12. These visible strips, which are maintained with the service record card files, provide summary data on each position occupied. They have no record or reference value when the related positions are canceled.

Item 13. These are case files accumulated under agency beneficial suggestion and management improvement programs. They have administrative value in evaluating new suggestions and in documenting current practices and procedures instituted as a result of the suggestions. The disposal period is sufficient to satisfy administrative needs either in reference or in documenting current practices. A lapse of five years after closing of the file will provide for normal reference needs.

Item 14. These are primarily copies of reports submitted to the Civil Service Commission. The copies are of little value to the agencies after a short period following submittal of the report.

Item 15. Copies of notifications of personnel action (other than the Official Personnel Folder copy) which have administrative or fiscal use are the pay copy, which is to be disposed of uniformly with other pay records, and the journal action copies, which will be retained for two years, in accordance with the provision of R1-2 of the Federal Personnel Manual, to satisfy inspection requirements.

Item 16. These files are involved in agency recruitment and appointment activities which are subject to Commission inspection to ensure that applicable rules are being observed. The application files are held for a sufficient period to serve the inspection needs of the Commission as well as the administrative needs of the agency personnel office. Papers pertaining to successful applicants are retained for a long period as part of the personnel folders described in item 1. The files covered by this item, however, involve pending or unsuccessful applications.

Item 17. These reports, which are required administratively and by the Commission on many phases of personnel administration, are normally consolidated into summary reports submitted to higher administrative levels, or are so detailed as to have no further administrative value after the period indicated.

Item 18. This item is intended to provide for the mass of local and other forms and correspondence which are not placed in the Official Personnel Folder because the Federal Personnel Manual does not require it or because it is deemed not to be administratively necessary to do so. Pending personnel actions, including those resulting from reduction in force proceedings, are documented in the Folder, which is held for a long period (item 1), and the papers here described are essentially working papers which rapidly lose their value as organizational and personnel changes render them noncurrent. Generally, the other files covered by this item relate to aspects of employment history which are also documented in the official folders or in fiscal records to be retained for a long period by the provisions of this schedule, and therefore are of little administrative value after relatively short periods.

Item 19. These are copies of forms relating to personnel actions and other matters involving the employee submitted to the personnel office by the operating unit initiating the form.

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Item 20. These records, created by Federal agencies as a result of operations pursuant to the Selective Service and Training Act of 1940, as amended, are of no further administrative value to the agencies. Actions taken with respect to individuals have been documented in Official Personnel Folders or their equivalents existing prior to 1947.

Items 21 and 23. These are the continuing records of treatment of individual employees; any correspondence, memoranda, or other data are filed in the same jacket. Journal entries are made on record cards or comparable forms recording each visit of the patient, brief diagnosis or statement of referral to private doctor, and treatment given, if any. The documents deemed of long term value by both personnel officials and medical officials are normally filed in the Official Personnel Folder (item 1). The remainder of the papers in each file are of only ephemeral interest. The records have no historical value; they are not of value for documenting health activities; medical officers believe that if no new data have been obtained during the retention period specified, they are of no value medically; and their administrative utility is limited by the five-year statute of limitations on claims for employees' compensation.

Item 22. These are journals on which are recorded the name of each patient, date on which he came, and, often, other identifying data, time spent, and a very brief notation of the illness or injury that prompted him to come. The records are occasionally used for administrative purposes for about one year after they are created, but not longer. They have no historical value and no value for documenting the history and functions of the dispensary, first aid room, or health unit; medical officers state that they have no medical value. Since their only administrative use is for statistical purposes, it is possible to dispose of those which are statistically summarized almost immediately and the statistical utility of the others is exhausted within the alternate period specified.

Item 24. These are retained copies of reports and summaries compiled by a health unit for transmission to higher administrative echelons, where they are used in combination with other reports for statistical and narrative analysis, and of informational copies of analyses transmitted to health units by higher administrative echelons. In either case, significant data are available at the higher echelons and the records are of no utility in health units beyond the period of time specified.

Item 25. These files consist of certifications by each supervisor that he has rated employees under his jurisdiction and has discussed the ratings with them. The certifications provide the necessary documentation to support the processing of periodic salary increases, and for the recording of other than "satisfactory" ratings on the retained service record cards (item 2 of this schedule). After such recording these certifications have no value.

## GENERAL RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. All others.	Alphabetically by name; start a new file every year.	Dispose 1 year after file is closed or 1 year after date of application if filing arrangement differs from that suggested herein.
9.	Leave record cards, maintained independently of pay and earning records. (Including Standard Form 1130 when used as a leave record.)	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	Dispose after 10 years. (Close file at end of year and transfer to Federal Records Center, St. Louis, Missouri, 3 years thereafter; dispose 7 years after transfer to Center.)
	a. Final cards showing accumulated leave on separation.	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	Dispose 3 years after audit of related pay records.
	b. All other cards.	Alphabetically by name; start a new file every 2 years if Standard Form 1137 or its equivalent is used, and every pay period if Standard Form 1130 is used.	
10.	Records of leave data transferred (such as Standard Form 1150).	Alphabetically by name; start a new file every year.	Dispose 2 years after file is closed or 2 years after date of document if filing arrangement differs from that suggested herein.
11.	Notifications of personnel action, exclusive of those in Official Personnel Folders.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	a. Pay or fiscal copy.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. Chronological file copies, including face sheets.	In accordance with Civil Service Handbook S-812, <u>Basic Personnel Records and Files System for Federal Agencies</u> , Oct. 1950, Part I B 4.	Dispose after 2 years.
	c. All other copies.	Alphabetically; start a new file every year.	Dispose after 1 year.
12.	Copies of budget authorizations to operating units that control personnel ceilings and personnel actions.	By organization.	Dispose when superseded.
13.	Memorandum copies of payrolls, check lists, and related certification sheets (such as Standard Forms 1013, 1128, or equivalents).	Chronologically by pay period.	Dispose when Federal Records Center receives second subsequent payroll or check list covering same payroll unit.
	a. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.		

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	b. All other copies.		
	(1) Where earning record card is maintained.	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
	(2) Where earning record card is not maintained.	By pay period with other pay records.	Dispose when 10 years old. (Transfer to Federal Records Center, St. Louis, Missouri, when 3 years old.)
14.	Payroll control registers (such as Standard Form 1125).	By pay period with other pay records.	Dispose 2 years after audit by the General Accounting Office.
15.	Payroll change slips exclusive of those in Official Personnel Folders (such as Standard Form 1126).		
	a. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. Copy used by disbursing officer in preparing checks.	By pay period, thereunder alphabetically by name.	Dispose after preparation of check.
	c. All other copies.	By pay period, thereunder alphabetically by name.	Dispose 1 month after end of pay period.
16.	Memorandum copies of fiscal schedules involved in payroll processing.		
	a. Copy used in General Accounting Office audit.	By pay period with other pay records.	Dispose 2 years after audit of related pay records by the General Accounting Office.
	b. All other copies.	Varies with agency practice.	Dispose 1 month after end of pay period.
17.	Administrative reports and data relating to payroll operations and pay administration.		
	a. Reports and data used for workload and personnel management purposes.	Conform to agency practice.	Dispose after 2 years.
	b. All other reports and data.	Conform to agency practice.	Dispose after 4 years.
18.	Withholding tax exemption certificates (such as Internal Revenue Form W-4).	Alphabetically by name.	Dispose 4 years after card is superseded or obsolete.
19.	Returns on income taxes withheld (such as Internal Revenue Form W-2).	By return and chronologically thereunder.	Dispose after 4 years.
20.	Reports of withheld Federal taxes and related papers (including records relating to income and social security taxes).	Conform to agency practice.	Dispose after 4 years.
21.	Retirement reports and registers.	Chronologically.	Dispose after 4 years.

Item 1. These are the official centralized pay records maintained by agencies keeping such records under General Regulations No. 102 of the Comptroller General or an adaptation thereof. Summaries of service are also normally included. In agencies under payroll site audit, this centralized record is the only

## GENERAL RECORDS SCHEDULE 3

Procurement and Supply Records

Agency procurement and supply records include the papers and files involved in obtaining goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations rather than staff or policy functions. The basic procurement files reflect a considerable range of procedure, from simple small purchases to complicated prime contractor and subcontractor operations.

This schedule covers procurement files dated since 1894, when such files began to be somewhat standardized. All contract records prior to 1894, for example, are not of permanent value, but their unstandardized nature makes it necessary for these older files to be evaluated on their own merits and they are therefore not covered by this schedule. Frequently copies of procurement papers become integral parts of other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

This schedule does not apply to records held by the General Accounting Office or to those of the General Services Administration reflecting Government-wide procurement responsibilities. It applies, however, to records of other agencies to which the Administrator of General Services has made delegations of authority, under Section 302 of the Federal Property and Administrative Services Act of 1949 (41 U.S.C. 252). Normally originals of papers required by the Comptroller General to be maintained for site audit, or to be physically transferred to the General Accounting Office for centralized audit, technically constitute segments of accountable officers' accounts. These original papers are therefore excluded from coverage in this schedule for the reasons set forth in Schedule 6. Similarly, this schedule does not apply to documents submitted to or created by other coordinating or regulatory agencies, such as the National Production Authority, the Economic Stabilization Agency, and others, in the course of their program operations.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

Since 1949 Federal agencies have operated their procurement and supply systems under regulations issued by the General Services Administration, although the Secretary of Defense under Section 201(a) of the Federal Property and Administrative Services Act of 1949, may exempt his Department from certain General Services Administration procurement regulations and orders.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. Forms to be used and reports to be made both ad hoc and as part of the returns of Federal disbursing officers are prescribed. General Services Administration General Regulation No. 4, for example, makes mandatory the use of certain standard supply contract forms. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

Procurement files fall into a number of functional categories, depending on the role of the file in the total supply process and its administration.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisitions, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization. Conformed copies of most procurement documents involving sums over \$5,000 for military agencies and over \$2,000 for other agencies, and leases, are submitted to the General Accounting Office at the time of their execution. The General Accounting Office contract file normally includes only those basic papers which enable its auditors to pass on the propriety of the expenditure or obligation. In agencies whose accounts are under site audit, the pertinent copies are maintained in agency space for the General Accounting Office.

Agency files may pertain to one or more of several procurement methods: (1) purchases against Federal Supply Service schedule contracts, record copies of which are in the appropriate Federal Supply Service regional office, (2) transactions initiated pursuant to the agency's own purchasing authority, or (3) requisitions from Federal Supply Service current inventories. Normally, in transactions not arising from Federal Supply Service schedule contracts, purchase orders are used for transactions under \$2,000 in value, and the more formal contract instruments are used for transactions involving larger sums of money.

GENERAL RECORDS SCHEDULE 3

Certain basic legislation normally governs procurement policies. The First and Second War Powers Act, enacted early in World War II, laid down general policies which gave to contracting officers wide latitude in contract determinations. The Armed Services Procurement Act of 1947 (62 Stat. 21) stated policy for armed forces procurement. Title III of the Federal Property and Administrative Services Act of 1949, as amended, (63 Stat. 377) restated over-all procurement policy and methods for the Government as a whole. Specialized legislation, such as the various renegotiation and price adjustment acts following World War II, produced temporary modifications of procedures.

The Federal procurement field has been affected from time to time by specialized legislation, some of which has been enacted for ad hoc purposes, while other laws have resulted in standard contract articles. Thus the Contract Settlement Act of 1944, as amended, (58 Stat. 649) prescribed procedures and policies to be used in the termination of World War II contracts; the Fair Labor Standards Act of 1938 prescribed certain standards of working conditions and employment that are still in effect; and the Anti-Kickback Act of 1934, subsequently amended in 1946, attempted to outlaw illegal arrangements by which employees returned parts of their wages to their employers under duress. Other legislation and administrative policies have imposed other legal safeguards and prohibitions, particularly in the field of real property procurement. In most instances the procurement files are required to document actions taken under the various laws.

Legislation which governs the procurement process inevitably affects the content of procurement files but not in such a way as to affect the long term value of the files except in the cases of those involving certain aspects of real property acquisition.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs, local requisition and stock inventory files, and other minor supply papers.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Procurement files (as described in item 4 below) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement or to major procurement programs (other than those covered by item 13).	Conform to agency practice.	Disposal not authorized by this schedule.
2.	Title papers documenting the acquisition of real property (by condemnation proceedings or otherwise).	Conform to agency practice.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after sale of property.)
<u>RECORDS OF TEMPORARY VALUE:</u>			
3.	Correspondence files of procurement operating units pertaining to their internal operation and administration that are not covered elsewhere in this schedule.	Conform to agency practice.	Dispose after 2 years.
4.	Contract, requisition, purchase order, lease, bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1, 2, and 13).		
a.	Procurement or purchase organization copy.		
	(1) Transactions of \$1,000 or less.		

## GENERAL RECORDS SCHEDULE 3

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	(a) Transactions negotiated pursuant to delegations of authority from the Administrator of General Services permitting agencies to procure supplies and services by negotiation rather than advertising, except when:	By contract symbol and number thereunder; by purchase order number.	Dispose 6 years after final payment.
	i. In the opinion of the contracting agency, the public exigency will not permit the delay incident to advertising.		
	ii. The transaction is for personal or professional services.		
	iii. The transaction is for any service to be rendered by any university, college, or other educational institution.		
	iv. The property or services are to be procured and used outside the limits of the United States and its possessions.		
	(b) All other transactions.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 4 years after final payment.
(2)	Transactions of more than \$1,000 and less than \$25,000.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 7 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
(3)	Transactions of \$25,000 or more.	By contract or lease symbol and number thereunder; by purchase order number.	Dispose 11 years after final payment. (Place in inactive file on final payment; transfer to Federal Records Center 3 years thereafter.)
b.	Obligation copy.	By appropriate number in suspense file for posting.	Dispose when funds are obligated.
c.	Other copies of papers described in 4a.		
	(1) Papers duplicated in item 4a.	As appropriate.	Dispose 1 year after completion of transaction.
	(2) Papers not duplicated in item 4a.	As appropriate.	Dispose in accordance with provision for item 4a.
5.	Files of volume and workload reports on procurement and supply operations and procedures (other than those incorporated in case files or other files of a general nature), exclusive of Department of		

## GENERAL RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
	Defense reports reflecting procurement under exemptions authorized by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).		
	a. Copies received from other units for internal purposes or for transmission.	By report and chronologically thereunder.	Dispose 2 years after date of report.
	b. Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose 1 year after date of report.
6.	Bid files.		
	a. Successful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
	b. Unsuccessful bids.	One copy of each bid with procurement file (item 4).	Dispose in accordance with provision for item 4.
	c. Lists or cards of acceptable bidders.	Alphabetically by stock item or by name of bidder.	Dispose when new list or card is made.
7.	Records relating to requisitions on the Public Printer, and all supporting papers.		
	a. Printing procurement unit copy of requisition, invoice, specifications and related papers.	By requisition number.	Dispose 4 years after completion or cancellation of requisition.
	b. Accounting copy of requisition, Government Printing Office invoice, transfer of funds voucher, and receiving report.	Attach to related vouchers.	Dispose 4 years after period covered by related account.
8.	Requisitions for non-personal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	By requisition number.	Dispose after 1 year.
9.	Requisitions for supplies and equipment from current inventory.		
	a. Stockroom copy.	Numerically by requisition number.	Dispose 2 years after completion or cancellation of requisition.
	b. All other copies.	Numerically by requisition number.	Dispose after 6 months.
10.	Inventory files.		
	a. Inventory lists.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years from date of list.
	b. Inventory cards.	Numerically by stock number or alphabetically by item, as appropriate.	Dispose 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.

## GENERAL RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
	c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedules.	Conform to agency practice.	Dispose 2 years after date of survey action or date of posting medium.
11.	Telephone statements and toll slips.	Attached to related vouchers.	Dispose 4 years after period covered by related account.
12.	Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).		
	a. Copies received from other units for internal purposes or for transmission to staff agencies.	By report and chronologically thereunder.	Dispose after 2 years.
	b. Copies in other reporting units, and related work papers.	By report and chronologically thereunder.	Dispose after 1 year.
13.	Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	By contract; thereunder chronologically.	Dispose 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
14.	Tax exemption certificates, and related papers.	Conform to agency practice.	Dispose 4 years after period covered by related account.

Item 1. These procurement files, normally selected by the agency as of continuing value, consist of procurement papers and related records which may or may not have been physically located in the agency principal procurement file. The records are retained not because of the individual transaction they represent, but because (a) they represent new departures in administrative arrangements not documented elsewhere in the agency, (b) they are an integral part of a file which may illustrate the inception and accomplishments of a major procurement program, or (c) they represent procurement procedures radically different from those normally followed and therefore are deserving of separate consideration. Normally they will be found in only a few agencies, such as the Defense departments and Atomic Energy Commission, which have unusual procurement problems.

Item 2. These records are of enduring legal, administrative, and historical value since they constitute the basic evidence of acquisition of real property by the Government, including statements of legal boundaries and restrictions that may run for generations. Other evidence of the same facts is legally secondary to the statements in the title papers.

Item 3. These are routine administrative files not part of other case files, and they do not include records of agencies or parts of agencies involved with the development of top procurement policy. Rather, these files are held by the units responsible for the day-to-day detailed procurement transactions. They are held long enough to satisfy administrative and reference needs.

Item 4. Agency procurement files (other than those described in items 1, 2, and 13) have the following conceivable values:

a. Legal and fiscal value: The principal values of procurement files are those pertaining to the rights of the Government as a contractor and as claimant or claikee and those involving audit or investigation by the General Accounting Office, the Congress, or others of transactions and payments. The General Accounting Office, which receives most claims involving procurement, has noted that claims quite consistently involve transactions of \$25,000 or more. The longest applicable statute of limitations on claims brought before the Comptroller General is 10 years (54 Stat. 1061); certain types of claims are governed by a six-year statute. The standard which has been developed for the disposition of procurement files therefore requires that contracts relating to transactions of \$25,000 or more must be retained until eleven years after final payment. Files relating to transactions between \$1,000 and \$25,000 and below

GENERAL RECORDS SCHEDULE 3

\$1,000 are retained until seven and four years, respectively, after final payment. Audit needs of the General Accounting Office are satisfied under normal conditions after three years, since accounts must be settled within three years from date of submission.

Procurement practices of Federal agencies are governed to a certain extent by Title III of the Federal Property and Administrative Services Act of 1949, as amended (41 U.S.C. 251-260), hereinafter referred to as the Act. As a matter of policy for the Federal Government as a whole, purchases and contracts for supplies and services are largely to be made by advertising. According to the Act agencies may procure by negotiation instead of advertising pursuant to delegations of authority by the Administrator of General Services. Item 4a(1)(a) pertains only to procurement transactions in which the agency procures by negotiation, rather than advertising, pursuant to a delegation of authority by the Administrator. Other laws, notably 41 U.S.C. 5, permit agencies to negotiate contracts under certain circumstances and in such cases the resulting files are covered by 4a(1)(b), 4a(2), and 4a(3).

Delegated authority to negotiate, normally requested by the agency, is usually keyed to a specific subsection of Section 302(c) of the Act. Section 302(c) lists 14 types of circumstances which permit negotiation without advertising. Section 307(c) of the Act requires that the written findings upon which agency decisions to negotiate pursuant to delegated authority are based, as well as the decisions themselves, be kept for a six-year period in the case of 4 of the 14 types of circumstances listed in Section 302(c). Section 307(d) requires the negotiation data be kept for six years following final payment in the case of 9 of the 14 types of circumstances permitting negotiation. To simplify agency retention and disposition, item 4a(1)(a) provides that the files on any transaction, including the agency determinations and decisions to negotiate, which are affected in whole or in part by Sections 302(c) (except 302(c)(2), (3), (4), (5), or (6)) or 307(d) of the Act, be retained six years after final payment.

The six-year requirement of 4a(1)(a) affects all procurement files of the type described in this item. However, since files of transactions of over \$1,000 are retained in excess of six years under items 4a(2) and 4a(3), the requirement of the Act is expressly included only in the item covering transactions of \$1,000 or less. All files documenting such transactions not affected by the six-year period are disposable four years after final payment in accordance with the appraisal factors discussed above. Although most agencies are permitted to negotiate purchases without any delegation of authority (i.e., under 41 U.S.C. 5) when the amount involved does not exceed \$500, and under certain other circumstances, it should be noted that the retention provision of 4a(1)(a) is applicable to all transactions of \$1,000 or less negotiated under a delegation of authority under Section 302(c) of the Act.

b. Historical value: Modern agency procurement files as a class are not of permanent historical or archival value since they represent essentially routine transactions and merely bind the usual buyer-seller relationships. These agency files are very voluminous and necessarily most of the transactions involved are of no historical importance. Important policies and procedures are established by the Comptroller General, the Administrator of General Services, and agency staff groups, and compliance with these procedures and policies is checked by the General Accounting Office so that irregularities of significance are documented in that agency.

c. Agency administrative value: Normally procurement files are of little reference interest to the agency after final payment has been made. Such needs, however, are adequately provided for by the retention period.

Item 5. These are workload and activity reports, with related subsidiary reports, made to staff agencies or to organizational superiors and are used for consolidated agency reports or for work measurement and other management purposes. These copies have no administrative value after the lapse of the period specified.

Item 6. The unsuccessful bids are retained for a period sufficient to serve needs of the contracting agency and other interested Federal units.

Item 7. These are case files on printing and binding jobs performed by the Government Printing Office. The files, comprising originating papers, agreements, and all related correspondence are normally maintained in the service organization involved in the printing and publication function. The period specified is sufficient to safeguard agency administrative needs arising from fiscal adjustments with the Government Printing Office, or from audit of the related accounts.

Item 8. These are requisitions for routine agency services. They are of minor value after the services have been performed.

Item 9. These are routine internal requisitions originated by operating units and filled from agency or Federal Supply Service inventories. They do not directly result in procurement action. The period provided is sufficient for local administrative needs and for posting to stock records.

Item 10. Inventory records, maintained to provide replenishment, stock control, and property maintenance

## GENERAL RECORDS SCHEDULE 3

data, are normally of administrative value as long as the individual inventory items involved are in stock or in current use. The periods provided are sufficient to allow for administrative and management uses, including those involving the property accounting audit responsibilities of the General Accounting Office, and the reconciliation with cost and control accounts. Papers primarily created to serve as posting media to inventory records, such as reports of survey resulting in the writing off or abandonment of property other than by sale or salvage, are held for a brief period after posting.

Item 11. Toll slips are in effect invoices authorizing payment via public vouchers for long distance telephone calls, and are usually filed with the related vouchers. Disposal is based on the three-year statutory period for the settlement of disbursing accounts, plus one year for agency administrative needs.

Item 12. These are reports required externally by the General Services Administration (Federal Supply Service) and internally by the agency to show agency needs and procurement for Federal Supply management purposes. The period of time specified is sufficient to satisfy internal agency needs for the information contained in these reports.

Item 13. The Department of Labor requires (29 CFR 5.5(a)(3)) that on each construction contract the contractor each week submit certified copies of all payrolls to the contracting officer, together with an affidavit that the payrolls are correct and that the rates paid are the same as those prescribed by the Secretary of Labor (these are not the copies used by the General Accounting Office in auditing cost-plus contracts). The contractor is required to preserve his payrolls for three years after the work is completed and to make them available for examination. The Federal agencies to whom the payrolls are submitted are also required (29 CFR 5.6(d)) to preserve the payrolls for three years. With relatively small contracts the payrolls in volume, constitute at least half of each contract file; in larger contracts, the volume is proportionately greater. The primary purpose of preservation of payrolls is for enforcement. Generally after the three-year period has passed the payrolls would be of little value if no enforcement action had taken place during such period. In cases where contractors' payrolls and related papers are being used in an enforcement case or where remedial action is pending at the end of the three-year period they should be retained.

Item 14. These files pertain to the Government's exemption from the payment of certain locally levied taxes on goods and services. The Federal purchaser pays these local taxes at the time a purchase is made, at the same time having the seller certify as to the amount and kind of tax paid. This tax exemption certificate, executed by the purchaser, is then used by the agency primarily to bill the State or local body involved for refund of the taxes paid. If the agency is unable to collect the bill, it is normally forwarded to the General Accounting Office for action. When collection is made, the refunded taxes are covered into agency accounts, memorandum copies of which are provided for in item 1, General Records Schedule 6. The certificates are retained as long as the agency accounts which they support.

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration transferred the staff functions of the former War Assets Administration relating to property disposition to the new agency. This schedule is not applicable to transaction or policy files created by the General Services Administration and predecessor agencies, to records in the Interior Department relating to the public domain, and to records relating to overseas property under State Department control. Surplus property transaction files dated prior to the establishment of the former Procurement Division in 1933 are also not covered. Such files are not necessarily of continuing value but they must be evaluated separately from later similar records because prior to assignment of program responsibility to the Procurement Division the files are incomplete and of varying nature.

In no event may disposal be made of records pertaining to accounts, claims or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by Section 9 of the Records Disposal Act of July 7, 1943, as amended (44 U.S.C. 374).

In discharging its responsibilities, the General Services Administration has issued Title 1, Personal Property Management, Regulations of the General Services Administration, which sets up procedures for screening, redistribution, and sale of personal property in the Federal Government. Three forms are prescribed for use by any agency selling surplus personal property under the regulations.

a. Standard Form 114 (Sale of Government Property, Invitation, Bid, and Acceptance). Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids and other notices of sale, invoices, and sales slips.

b. Standard Forms 120 (Report of Excess Personal Property) and 121 (Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property). Form 120 reports personal property which is excess to the agency reporting to the regional General Services Administration offices, which initiate screening action. The quarterly reports are submitted to the Personal Property Utilization Division of the Federal Supply Service, General Services Administration, which consolidates the data.

Procedures relating to real property are governed by Title 2, Real Property Management, Regulations of the General Services Administration.

ITEM NO.	DESCRIPTION OF RECORDS	RECOMMENDED METHOD OF FILING	AUTHORIZED DISPOSITION
<u>RECORDS OF CONTINUING VALUE:</u>			
1.	Case files on sales of surplus personal property (as described in item 6 below) involving transactions of \$25,000 or more, and documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	Transaction files in alphabetical order by name of purchaser.	Disposal not authorized by this schedule.
2.	Case files on disposal of surplus real and related personal property.	Alphabetically by location or by control number, as appropriate.	Disposal not authorized by this schedule. (Transfer to Federal Records Center 3 years after close of file.)
3.	Reports of excess real property.	Conform to agency practice.	Disposal not authorized by this schedule.
<u>RECORDS OF TEMPORARY VALUE:</u>			
4.	Correspondence files maintained by operating units responsible for property disposal, pertaining to their operation and administration, not otherwise provided for.	Conform to agency practice.	Dispose after 2 years.
5.	Reports of excess personal property.	Chronologically by reporting unit.	Dispose after 3 years.

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<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RECOMMENDED METHOD OF FILING</u>	<u>AUTHORIZED DISPOSITION</u>
6.	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1 and 2).		
	a. Transactions of \$1,000 or less.	Transaction files in alphabetical order by name of purchaser.	Dispose 4 years after final payment.
	b. Transactions of more than \$1,000 and less than \$25,000.	Transaction files in alphabetical order by name of purchaser.	Dispose 7 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 3 years thereafter.)
	c. Transactions of \$25,000 or over.	Transaction files in alphabetical order by name of purchaser.	Dispose 11 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 3 years thereafter.)
7.	Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership since August 21, 1935, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided: (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose the user agree to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.	Conform to agency practice.	Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

Item 1. These files, normally selected by the agency for permanent retention, are retained because they document transactions involving new departures in the administration of surplus personal property disposal and as such may be of continuing value. Those not warranting continued preservation must be appraised on their own merits.

Item 2. Almost all contracts for the sale by the Government of surplus real property include recapture clauses, reservations on fissionable materials, reservations on water rights, and other restrictions. These reservations are not limited in time and therefore the sales files must be kept indefinitely. Older sales files and current ones not including such reservations may be disposable but since they represent sales taking place under unstandardized policies and procedures they must be appraised on their own merits. The related personal property described in this item is property sold with the real estate or with similar reservations.

Item 3. Reports of excess real property contain justifications for declaring the property excess and contain data on the methods by which the property was acquired. Continuing legal needs for this information preclude scheduling their disposal on a Government-wide basis.

## GENERAL RECORDS SCHEDULE '6

Under Public Law 72, 80th Cong., 1st sess. (61 Stat. 101), the General Accounting Office must complete the audit of accounts within 3 years from the date of the submission of the account. The disposal period provided for all returns files other than those covered in item 1a includes the three-year period, plus an additional year for administrative purposes. Necessary references after the four-year period can be made to the originals of the papers held by the General Accounting Office in its own space, or in appropriate agency or Federal Records Center space.

In the normal course of current operations, security copies of voucher listings prepared or paid by the Treasury disbursing offices normally consist of memorandum copies of lists of various types of periodic payments made under certain Federal programs, and attached papers. These copies are transferred to appropriate Federal Records Centers by disbursing offices as soon as checks are issued. Since only current data need be available, these documents are disposable at the Centers when the second subsequent document for each type of disbursement is received. Under this procedure, the current and immediately preceding payment listings will be continuously available. The disposal provision for item 1a does not apply to original listings, which are maintained for a minimum of twelve years in the case of skeletonized payrolls, fifty-six years in the case of comprehensive payrolls, and eight years in the case of all other types of listings.

Exception and certificate files are scheduled for disposal after periods based on clearance of the exception as well as the total accounts.

Schedules of certificates of settlement of claims are listings of claims settled by the General Accounting office and are retained for a shorter period than the certificates themselves.

Item 5. These records, relating to the availability, deposit and status of funds, comprise certificates of deposit and related papers, or their equivalents, covering collected funds into the Treasury, transcripts, tabulations, and reports prepared primarily by the Treasury Department informing administrative agencies of the status of their funds subject to disbursement from certified vouchers, and used to reconcile with agency accounting records; copies of appropriation warrants officially making funds available to agencies by Congress; and other records documenting the acquisition, maintenance, and availability of agency funds. Conversely, this item does not cover source records supporting the aggregates of funds or collections reported on certificates of deposit or summaries of disbursements. Therefore, records such as income tax returns, social security reports, Federal employee retirement accounts, and the like are not included. Those records serve separate and distinct special program purposes and do not relate to agency funds accounting activities. Records covered by this item are held for the same four-year period provided for the memorandum copies of accountable officers' returns, which reflect the collections and expenditures of the funds. Key ledger records summarizing accountable officers' accounts are retained for substantial periods in the Office of the Treasurer of the United States and the Bureau of Accounts, Treasury Department. The originals of the appropriation warrants (Treasury Department copies) are not scheduled for disposal.

Item 6. Files used for personnel and other non-fiscal management purposes are disposable after a minimum period necessary for administrative and reporting needs. Other files are held for a somewhat longer period, since they may contain substantive fiscal data and may be useful in General Accounting Office comprehensive agency audits.

## GENERAL RECORDS SCHEDULE 9

Item 5. These files pertain to the travel of personnel under orders issued pursuant to law by competent agency authority. Each paper normally concerns travel of an individual. Included are papers which are normally accumulated by agency units involved in expediting and arranging for the travel, including copies of travel orders, per diem vouchers, hotel reservations, and related papers, as well as copies of accounting papers such as vouchers which may be used for fund control purposes. The latter are of no value after they have been posted to control ledgers; the administrative travel records are maintained generally as long as memorandum copies of related agency accounts (item 1, General Records Schedule 6).

Papers covered by item 5a include also transportation request files. The originals of transportation requests are surrendered to the carrier by the traveler, while a retained carbon copy of each is held as a check against the originals, which are returned by the carrier with his bill and which become part of the agency accounts. Agency memorandum copies are disposable after 4 years. Transportation requests which are spoiled in preparation, canceled, or voided for any reason, or which are unused, as well as empty request book covers (retained under the obsolete General Regulations No. 108 of the Comptroller General), are not record material. They are disposable as soon as the regulations (now issued by agencies pursuant to General Regulations No. 123 of the Comptroller General), requiring the maintenance of accountability records, are complied with. Prior to July 1, 1955, comparable accountability records were required by General Regulations No. 108. The accountability records themselves are disposable under this item 4 years after all the entries on the records are cleared.

Item 6. Files relating to the administration of the Government Losses in Shipment Act are retained for substantial periods by the Bureau of Accounts, Treasury Department, which has Government-wide responsibility. These agency copies are retained long enough to satisfy local administrative and legal needs.